

Documented Counseling Guideline

A documented counseling is **not disciplinary and is not placed in the employee's personnel file.** However, it is the first step in making the employee aware of performance deficiencies or conduct issues. A documented counseling is generally used as a follow-up after a meeting with the employee on issues of performance or conduct. A documented counseling may be administered to the employee by letter or memorandum and is generally hand delivered. A guide for issuing a documented counseling is as follows:

Employee Name/Position Title/Address

Subject: Documented Counseling

Dear

Management Concern

- Purpose of the letter (to review and summarize a meeting we had regarding the issue).
- Date of the meeting.
- Location and who was present at the meeting.
- Specific reasons that are the basis of the counseling (unacceptable personal conduct or unsatisfactory job performance).
- Specific dates, times, other involved parties and any related documentation concerning the basis for the counseling.
- Previous steps that have been taken to correct the issue if applicable.

Example:

The purpose of this letter is to summarize a meeting we had on (date) to discuss my concerns regarding your unsatisfactory job performance. You and I met in my office to specifically talk about your inability to complete work in a timely manner. The expectations of your position are to have all benefit enrollment forms checked for accuracy and submitted to the proper vendors within 48 hours of employee sign-up. I have received calls from several different vendors and the retirement system expressing concerns regarding the processing of our benefits forms. Specifically, the concerns were that enrollment forms are two or more weeks late and forms are being returned because they were not properly completed. Previously, on (date), I discussed with you my concern that you were getting behind and we discussed a plan of action to keep you current.

Employee Side and Management Expectations

- The employees' explanation or response to issues that were addressed in the meeting.
- Specific improvements or changes that must be made to correct the problem including the forms of assistance or coaching offered to help the employee meet the objectives.
- How the improvement will be monitored.
- The time frame for making the improvements.
- The consequences of failing to make improvements.

Example:

In our meeting, you stated that you were overwhelmed and had gotten behind. You admitted that the enrollment expectations were reasonable and you understood the need to accurately complete the forms and have them processed by the 48 hour deadline. Effective immediately you are to notify me weekly regarding the status of your work and any time you feel you are unable to meet a deadline. We will meet again in (30 days, 60 days or set a date) to discuss any improvements made in your work. Your failure to meet these expectations could lead to disciplinary action.

Note to Managers: Management may elect to make the documented counseling a part of the employee PMS by making the following statement in the letter: "Please be advised that this documented counseling will be attached to your Work Plan as a Special Review. Should management elect this option, the letter is attached to PMS at the end of the work cycle."

EAP information

The Employee Assistance Program (EAP) is a confidential service designed to help employees resolve problems that may be affecting their personal or work life. EAP provides confidential referrals to appropriate resources. If you wish to schedule an appointment or seek additional information, please contact, (Name) EAP Consultant at 1-800-telephone number or contact (Human Resources Manager/Employee Relation Specialist name and number)

Grievance Statement

This documented counseling is not grievable.

Encouragement

I am confident in your abilities to deal with these issues and I look forward to a positive resolution.

Employee's Signature: _____ Date: _____